

PROJECT PROCESS

2009



INTRODUCTION DR.

Federal and State funds are allocated for project specific use by Local Governments in nine different categories (please see list below). Federal funds are administered by the Federal Highway Administration (FHWA). The FHWA requires the Utah Department of Transportation (UDOT) to oversee the use of the funds to ensure that federal regulations are followed on each project.

This brochure describes the current process required for federal aid on a qualifying Local Government project. Local Governments should use this as a general how-to guide for project requirements when using federal funds.

Local Government projects are diverse and each needs to be scoped and scheduled individually.

LEGEND

ST.

LOCAL GOVERNMENT RESPONSIBILITY



Process Path

\$ Local Authority Match Required

PLANNING & PROGRAMMING RD.

APPLICATION & PROGRAMMING PROCESS

6-10 Months

Application and Programming Process

Apply for funding from one of the funds listed below. The application identifies the Project Design Criteria (PDC) along with project costs. Project costs include, but are not limited to, design, utilities, Right-of-Way, UDOT review and management, construction and construction management, UDOT construction monitoring, and inflation costs. Declaration of intent to use soft match is required at this time. Funding approval is contingent on an approved concept report.

Funding Type

Bridge Off - System Non-Urban Small Urban State Park Access

Programming Body

Joint Highway Committee Joint Highway Committee Joint Highway Committee Joint Highway Committee Funding Type Programming Body

CMAQ Metropolitan Planning Organization Urbanized Area Metropolitan Planning Organization

Enhancement UDOT
Safety UDOT
Federal Earmarks Congress



A draft Statewide Transportation Improvement Plan (STIP), which includes your selected project, is published on the web for public comment. The Utah Transportation Commission reviews and revises the draft STIP based on the public comment received. The Commission then approves the STIP for the upcoming federal fiscal year (October 1 - September 30).

DESIGN

LN.



\$ Federal Aid

The Federal Aid Agreement is initiated by UDOT PM using the CMS module of ePM. The Federal Aid Agreement is based on current project value. Final approval for soft match, donations and/or reimbursable goods or services is required at this time. UDOT Consultant Services prepares the Draft Federal Aid Agreement for review and approval by all parties involved. Notification for the Local Agency match will be emailed at the following stages: design phase when the PE contract is executed; ROW phase when FHWA obligation for ROW is approved; construction phase when the CE contract is executed. Modifications will be generated by CMS when there is a change in State or Federal funds, or when the UDOT PM identifies other needs.

Required Approval Signatures

Mayor or County Commissioner, UDOT Region Director, UDOT Director of Engineering Services, and UDOT Comptrollers Office



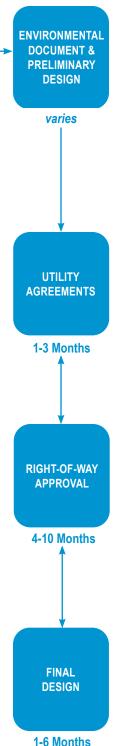
1-6 Months

Consultant Design Contract

The Local Agency selects a consultant to design the project. The Local Agency, the UDOT PM and Consultant finalize the costs, scope and schedule and submit a Quality Control (QC/QA) Plan. The Local Agency signs the Letter of Concurrence generated in CMS or on Local Agency Letterhead. The UDOT Consultant Services team executes contract. Notice to Proceed (NTP) issued by UDOT Consultant Services staff.

Required Approval Signatures

Mayor or County Commissioner or Designee, UDOT Region Director, UDOT Director of Engineering Services, and UDOT Comptrollers Office



Environmental Document/Preliminary Design

The Consultant prepares the applicable Environmental Document based on the requirements of the project.

- Categorical Exclusion (3-9 months)
- Environmental Assessment (12-18 months)
- Environmental Impact Statement (30-45 months)

Wasatch Front Regional Council (WFRC) projects are required to complete this step using only local funds.

Required Approval Signatures

Region Environmental Engineer and FHWA

Utility Agreements (Franchise or Federal)

The Local Agency enters into formal agreements with all Utility and Railroad companies whose facilities will be impacted by the project. The region utility coordinators approval is only needed if federal funds are used to relocate a utility. Utility Certification must be provided by the Local Agency on agency letterhead.

Required Approval Signatures

Local Agency and Region Utility Coordinator

\$ Right-of-Way Approval

Verify any Right-of-Way (ROW) requirements for the project. If ROW is being purchased using federal funds, a resource plan, shotgun estimate and parcel maps must be approved by UDOT Central ROW. The ROW Certification must be provided by the Local Agency on agency letterhead. The Local Agency match for Right-of-Way acquistions is due at this time.

Required Approval Signatures

UDOT Central Right-of-Way

Final Design & QC/QA Plan

The Consultant prepares the final design for the project and submits a Quality Control (QC/QA) Plan to the UDOT PM.

Required Approval Signatures

Consultant and UDOT PM



Plans, Specifications & Estimate Approval

Plans, Specifications & Estimate (PS&E) should be prepared by the Consultant and submitted to the Local Agency and the UDOT PM for verification. Before signing off on the PS&E, determine if a design modification should be made to add more money to the consultant's contract to complete any requested changes/additions.

The Local Agency and Consultant are responsible for conformance to the UDOT Preconstruction Process. UDOT is responsible for verifying design conformance to the required minimum standards.

Required Approval Signatures

Local Agency and UDOT Project Manager

Consultant Construction Engineering Management (CEM) Contract Execution

The Local Agency selects a consultant to perform the construction management. The Local Agency, UDOT PM and Consultant finalize the costs, scope and schedule. The Local Agency provides a concurrence letter on agency letterhead. The UDOT Consultant Services team executes the contract.

Required Approval Signatures

Local Agency, Consultant, UDOT Comptroller, and UDOT Director of Engineering Services

\$ Billing for Construction Match

The Local Government Agency receives billing for construction activities and overruns. The Local Agency match for the construction phase is due at this time. All remaining Local Agency funds are due to UDOT at this time unless prior arrangements have been made with UDOT Comptroller.

Advertising Packet

The Consultant in conjunction with the Region Advertising Specialist prepares the advertising package in accordance with the Federal Advertising Checklist. Once the checklist is complete, UDOT submits the packet to the UDOT Construction Division for advertising.

Required Approval Signatures

UDOT PM (Assignment Order), Local Agency (Plan Set & Utility), Consultant (Plan Set), and UDOT Central Right of Way (Projects acquiring ROW only)



Advertising

The UDOT Construction Division advertises the project for a minimum of four weeks. During this time Contractors bid on the project. Every Tuesday bids are opened and the lowest responding bidder is identified. The Local Government must send a letter of concurrence on agency letterhead for the selection of the specified Contractor. Following receipt of this letter the project is awarded to the qualifying Contractor.

CONSTRUCTION AVE.



Contractor Notice To Proceed

UDOT issues a notice to the Contractor to begin construction. The Local Agency provides a concurrence letter on agency letterhead.

CONSTRUCTION ADMINISTRATION

Construction Administration

The Consultant documents account payables using UDOT's project accounting system and PDBS. The Consultant must submit monthly estimates to the Local Agency and contractor for review and acceptance. Estimates will be submitted to the UDOT Region District Engineer within one week of the estimate closing.



Required Approval Signatures

Local Agency, Consultant and UDOT Region District Engineer



Materials Testing

The Consultant must provide all equipment and labor necessary to complete field and laboratory testing on all project materials using a UDOT qualified laboratory. The testing methods and frequency will be in accordance with current UDOT Materials Minimum Sampling and Testing Guide and the UDOT Materials Manual of Instruction.

Based on Construction Schedule

Required Approval Signatures

Consultant



1-4 Months

Project Inspection

The Consultant is responsible for providing project inspection to ensure compliance with required standards. Project filing, documentation, monthly progress reports, progress payments, change orders, and final payment will be done according to UDOT Policy and Procedures, and Manuals of Instruction. Survey and pay quantities will be documented daily in field books equivalent to those UDOT uses with no erasures.

Required Approval Signatures

Consultant

Project Closeout

Upon substantial completion of the project, the Consultant will conduct, coordinate and notify in writing all interested parties to attend a final inspection.

Upon completion of all punch list items the Consultant, in agreement with Local Agency, will accept the construction as complete. Within thirty days of completion the Consultant will provide final project documentation as required by UDOT and FHWA for final acceptance of the project.

Required Approval Signatures

Consultant, UDOT Region Contract Specialist, UDOT Region Materials Engineer, UDOT Region District Engineer and UDOT Central Construction

Project Audit

Project documents are reviewed for adherence to standards, accuracy, and completion.

Project Termination

The UDOT Comptroller issues the final voucher to the Contractor. All records are taken to the Central Records facility.



METROPOLITAN PLANNING ORGANIZATIONS

Salt Lake City & Ogden Wasatch Front Regional Council

(801) 363-4250 www.wfrc.org

Provo & Orem Mountainland Association of Governments

(801) 229-3800

www.mountainland.org

Cache Valley Cache Metropolitan Planning Organization

(435) 716-7154 www.cachempo.org

St. George Area Dixie Metropolitan Planning Organization

(435) 673-3548 www.dixiempo.org

JOINT HIGHWAY COMMITTEE

UDOT Local Government Programs Engineer (801) 965-4366

UTAH DEPARTMENT OF TRANSPORTATION

www.udot.utah.gov/go/localgovernmentassistance

Local Government Program Engineer Matthew Swapp (801) 965-4366

Local Government Projects Manager Jerry Maio (801) 707-5785